



ASA-328-07

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

A. YAMAMOTO et al

Serial No. 10/632,840

Group Art Unit: 2186

Filed: August 4, 2003

Examiner: D. Robertson

For: CACHE CONTROL METHOD AND APPARATUS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Alexandria, VA 22313

Sir:

In accordance with the duty of disclosure, the applicants inform the Examiner of the documents cited during prosecution of the parent application, Serial No. 09/544,853.

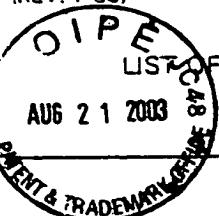
The above-referenced patent application is a continuation application of U.S. Application Serial No. 09/544,853, filed on April 6, 2000, from which priority is claimed under 35 U.S.C. § 120.

Applicants request the Examiner to initial and return a copy of the attached PTO-1449 form to indicate that the references have been considered.

Respectfully submitted,

  
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Registration No. 30,293  
Attorney for Applicant(s)

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Date: August 21, 2003

FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
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## U. S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT  | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE<br><i>If Applicable</i> |
|------------------|-----------|----------|------------------|-------|----------|-------------------------------------|
| AA               | 4,423,479 | 12/27/83 | Hanson et al     |       |          |                                     |
| AB               | 4,078,254 | 03/07/78 | Beausoleil et al |       |          |                                     |
| AC               | 5,371,855 | 12/06/94 | Idleman et al    |       |          |                                     |
| AD               | 5,446,861 | 08/29/95 | Idleman et al    |       |          |                                     |
| AE               | 5,241,566 | 08/31/93 | Idleman et al    |       |          |                                     |
| AF               | 4,084,234 | 04/11/78 | Calle et al      |       |          |                                     |
| AG               | 4,075,686 | 02/21/78 | Calle et al      |       |          |                                     |
| AH               | 4,268,907 | 03/19/81 | Porter et al     |       |          |                                     |
| AI               | 4,394,732 | 07/19/83 | Swenson          |       |          |                                     |
| AJ               | 4,320,478 | 04/24/90 | Furuva et al     |       |          |                                     |
| AK               | 5,347,642 | 09/13/94 | Barratt          |       |          |                                     |

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|----|----------|------|---------|-------|----------|----------------------------|
| AL |          |      |         |       |          |                            |
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| AN |          |      |         |       |          |                            |
| AO |          |      |         |       |          |                            |
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| AR | J. Menon et al, "The IBM 3990 Disk Cache," Thirty-Third IEEE Computer Society International Conference, February 29-March 4, 1988, pp. 146-151.              |
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| AS | T. Miyachi et al, "Performance Evaluation for Memory Subsystem of Hierarchical Disk-Cache," Systems and Computers in Japan, Vol. 17, No. 7, 1986, pp. 36-34. |
| AT | S. Fujii, "The Ampenf Cache Disk System," Thirty-Third IEEE Computer Society International Conference, February 29-March 4, 1988, pp. 156-157.               |

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EXAMINER: Initial if reference considered. Whether or not citation is in conformance with MPEP 809: Draw line through citation if not in conformance and not considered.  
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| AA                         | 5,163,142 | 11/10/92 | Mageau       |       |          |                                     |
| AB                         | 5,313,613 | 05/17/94 | Gregor       |       |          |                                     |
| AC                         | 4,500,954 | 02/19/85 | Duke et al   |       |          |                                     |
| AD                         | 5,404,487 | 04/04/95 | Murata et al |       |          |                                     |
| AE                         |           |          |              |       |          |                                     |
| AF                         |           |          |              |       |          |                                     |
| AG                         |           |          |              |       |          |                                     |
| AH                         |           |          |              |       |          |                                     |
| AI                         |           |          |              |       |          |                                     |
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| AR | M. Young, "Controllers Wring Peak Performance Out of Disk Drives,"<br>Computer Design, May 1985, pp. 119-127.                                       |
| AS | M. Nelson et al, "Caching in the Santa Network File System,"<br>ACM Transactions on Computer Systems, Vol. 6, No. 1, February 1988,<br>pp. 134-154. |
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|------------------|-----------|----------|--------------|-------|----------|----------------------------|
| AA               | 4,468,730 | 08/28/84 | Dodd et al   |       |          |                            |
| AB               | 4,369,043 | 05/26/87 | Kacinskiy    |       |          |                            |
| AC               | 4,384,197 | 11/23/89 | Sachs et al  |       |          |                            |
| AD               | 4,933,335 | 06/12/90 | Sachs et al  |       |          |                            |
| AE               | 5,025,365 | 06/18/91 | Methur et al |       |          |                            |
| AF               | 5,025,366 | 06/18/91 | Baror        |       |          |                            |
| AG               | 5,045,398 | 09/03/91 | Begun et al  |       |          |                            |
| AH               | 5,091,346 | 02/25/92 | Sachs et al  |       |          |                            |
| AI               | 5,091,350 | 02/25/92 | Culley       |       |          |                            |
| AJ               | 5,097,532 | 03/17/92 | Borup et al  |       |          |                            |
| AK               | 5,097,533 | 03/17/92 | Burger et al |       |          |                            |

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|----|-----------|----------|--------------------------------|-------|----------|----------------------------|
| AL | 55-157053 | 12/06/80 | Japan                          |       |          |                            |
| AM | 59-135563 | 08/03/84 | Japan (w/ partial translation) |       |          |                            |
| AN | 63-132354 | 06/04/88 | Japan                          |       |          |                            |
| AO | 1-113844  | 05/02/89 | Japan                          |       |          |                            |
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| AR | SUSCH J.R. et al, "Disc caching in the system processing units of the HP 3000 family of computers", <u>Hewlett-Packard Journal</u> , Amstelveen, Netherlands, Vol. 36, no. 2, February 1985, pp. 21-39.   |
| AS | T. Tokunaga et al, "Integrated disk cache system with file adaptive control", <u>Proceedings of Distributed Computing, COMPTON 80, Twenty-first IEEE Computer Society International Conference</u> , Washington, DC 23-25 Sept. 1980, Vol. 21, pp. 412-416. |
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| EXAMINER INITIAL       | DOCUMENT  | DATE     | NAME            | CLASS | SUBCLASS | FILING DATE<br><i>If Assignment</i> |
| AA                     | 4,084,231 | 04/11/78 | Capozzi et al   |       |          |                                     |
| AB                     | 4,503,380 | 07/29/86 | Easton et al    |       |          |                                     |
| AC                     | 4,870,585 | 09/26/89 | Yamamoto et al  |       |          |                                     |
| AD                     | 4,800,483 | 01/24/89 | Yamamoto et al  |       |          |                                     |
| AE                     | 4,916,505 | 04/10/90 | Beardsley et al |       |          |                                     |
| AF                     | 4,394,733 | 07/19/83 | Swenson         |       |          |                                     |
| AG                     | 4,490,782 | 12/25/84 | Dixon et al     |       |          |                                     |
| AH                     | 4,593,354 | 06/03/86 | Ushiro          |       |          |                                     |
| AI                     | 5,694,576 | 12/02/97 | Yamamoto et al  |       |          |                                     |
| AJ                     | 5,497,472 | 03/05/96 | Yamamoto et al  |       |          |                                     |
| AK                     |           |          |                 |       |          |                                     |

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|                     | AA 4,685,082 | 08/04/87 | Cheung et al      |       |          |                                 |
|                     | AB 4,646,233 | 02/24/87 | Weatherford et al |       |          |                                 |
|                     | AC 4,425,615 | 01/10/84 | Swenson et al     |       |          |                                 |
|                     | AD 4,399,503 | 08/16/83 | Hawley            |       |          |                                 |
|                     | AE 4,245,300 | 01/13/81 | Kaufman et al     |       |          |                                 |
|                     | AF 3,702,462 | 11/07/72 | England           |       |          |                                 |
|                     | AG 3,354,466 | 11/21/67 | Herold et al      |       |          |                                 |
|                     | AH 3,328,566 | 06/27/67 | Kinzie et al      |       |          |                                 |
|                     | AI 3,243,781 | 03/29/66 | Ehrman et al      |       |          |                                 |
|                     | AJ 3,240,921 | 03/15/66 | Sundblad          |       |          |                                 |
|                     | AK 3,237,169 | 02/22/66 | Hartwig et al     |       |          |                                 |

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|---------------------|--------------|----------|---------------|-------|----------|---------------------------------|
|                     | AA 3,225,334 | 12/21/65 | Fields et al  |       |          |                                 |
|                     | AB 4,598,357 | 7/1/86   | Swenson et al |       |          |                                 |
|                     | AC           |          |               |       |          |                                 |
|                     | AD           |          |               |       |          |                                 |
|                     | AE           |          |               |       |          |                                 |
|                     | AF           |          |               |       |          |                                 |
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|                     | AI           |          |               |       |          |                                 |
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